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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/814,315	03/21/2001	Gordon Earle	23265-011	3772

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EXAMINER

LU, KUEN S

ART UNIT PAPER NUMBER

2167

DATE MAILED: 02/23/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 09/814,315	Applicant(s) EARLE ET AL.	
	Examiner Kuen S Lu	Art Unit 2167	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
 - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
 - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
 - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 21 March 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-22 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>10/4/2001</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Specification

1. Applicant is reminded of the proper language and format for an abstract of the disclosure.

The abstract should be in narrative form and generally limited to a single paragraph on a separate sheet within the range of 50 to 150 words. It is important that the abstract not exceed 150 words in length since the space provided for the abstract on the computer tape used by the printer is limited. The form and legal phraseology often used in patent claims, such as "means" and "said," should be avoided. The abstract should describe the disclosure sufficiently to assist readers in deciding whether there is a need for consulting the full patent text for details.

The language should be clear and concise and should not repeat information given in the title. It should avoid using phrases which can be implied, such as, "The disclosure concerns," "The disclosure defined by this invention," "The disclosure describes," etc.

2. The Abstract of the disclosure is objected to because it contains phrase "The present invention" which can be implied. Appropriate correction is required. See MPEP § 608.01(b).

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U. S. C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

4. Claim 1, 3-4, 14 and 22 are rejected under U. S. C. 102(b) as anticipated by OraAPP (Oracle® Applications Concepts, Release 11 for UNIX, 1998, Oracle®, hereafter "OraAPP").

As per claims 1, 14 and 22, OraAPP teaches the following:

“a web server implementing a user interface to said system” (See Fig. 1-1 and Pages 1-2, 1-3 and 1-6 wherein OraAPP’s web server serves client web browser to communicate with other tiers in the Oracle Application System is equivalent to Applicant’s a web server implementing a user interface to said system); and

“a database server in operable communication with the web server, the database server comprising a data architecture representing the business process” (See Fig. 1-1, Pages 1-2, 1-8 and 2-1 to 2-3 wherein OraAPP’s database contains Oracle Application data and architecture to support business processes, such as MRP, Financials and EDI, etc, is equivalent to Applicant’s a database server in operable communication with the web server, the database server comprising a data architecture representing the business process);

“an entity model representing an entity responsible for implementing at least a portion of the business process” (See Pages 2-3 and 2-4 wherein OraAPP’s Sales and Marketing is modeled under the application environment AS_TOP for sales and marketing analysis is equivalent to Applicant’s an entity model representing an entity responsible for implementing at least a portion of the business process);

“a transaction model comprising at least one transaction in the business process” (See Pages 1-9, 1-10 and 2-1 – 2-3 wherein OraAPP’s concurrent manager processes concurrent requests for Oracle Applications business components such as AP, AR, GL, Payroll, Sales and Marketing, etc, is equivalent to Applicant’s a transaction model comprising at least one transaction in the business process);

“a list model representing at least one step in the transaction, the list model comprising a list of at least one entity associated with the transaction” (See Pages 1-10 and 2-4 wherein OraAPP’s internal concurrent manager processing is the model to monitor the database table for new requests, control the other concurrent managers and determine when a transaction request from a component product, such as Sales and Marketing, should be processed and which concurrent manager should carry it out is equivalent to Applicant’s a list model representing at least one step in the transaction, the list model comprising a list of at least one entity associated with the transaction); and

“a task model associated with the list, the task model defining at least one task associated with the at least one step in the transaction” (See Pages 1-9 and 1-10 wherein OraAPP’s the running concurrent processes are the executable programs operate in the background to define and perform the Application tasks as requested is equivalent to Applicant’s a task model associated with the list, the task model defining at least one task associated with the at least one step in the transaction).

As per claim 3, OraAPP teaches “the entity model, transaction model, list model, and task model are objects” (See Fig. 3-13, Pages 2-1 and 1-7 to 1-10 wherein OraAPP’s application architecture, concurrent processes and concurrent managers are built on or work on the objects created on the database tier is equivalent to Applicant’s the entity model, transaction model, list model, and task model are objects).

As per claim 4, OraAPP teaches "each object is associated with a primary key" (See Page 1-9 and 3-13 wherein OraAPP's concurrent request stores processing request in table and primary keys are created for transaction table suggests primary keys are created for the database objects which involve a complex of operations between tiers and schema is equivalent to Applicant's each object is associated with a primary key).

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

6. Claim 2, 5-13 and 15-21 are rejected under 35 U.S.C. 103(a) as being unpatentable over OraAPP (Oracle® Applications Concepts, Release 11 for UNIX, 1998, Oracle®, hereafter "OraAPP") as applied to claims 1, 14 and 22 above, and further in view of OraSAM (Oracle® Sales and Marketing Connected Client User's Guide, Release 11, March 1988, Oracle®, hereafter "OraSAM").

As per claim 2, OraAPP teaches a database server comprising data architecture representing a business process as previously described in claims 1, 14 and 22

rejections, furthermore, OraAPP teaches concurrent managers running on concurrent server(s) for controlling concurrent and parallel processes (See Pages 1-9 and 1-10).

OraAPP does not specifically teach "individual user specifications (IUS)".

However, OraSAM teaches "individual user specifications" (See Pages 1-17 to 1-21 wherein OraSAM's profile options are available for grouping to define individual users is equivalent to Applicant's individual user specifications).

It would have been obvious to one having ordinary skill in the art at the time of the applicant's invention was made to combine the teachings of OraSAM and OraAPP because OraAPP teaches an integrated system for financials, MRP, HRMS, etc. and OraSAM is a component product of financial applications, and the combination would have enabled Sales and Marketing users to utilize concurrent managers to submit processes to be processed concurrently or in-parallel in the background while continue performing fore-ground tasks for performance improvement.

OraSAM further teaches "company specific parameters (CSP)" (See Page 2-8 wherein OraSAM's company profile parameters are entered or updated is equivalent to Applicant's company specific parameters); and "vertical market system parameters (VMSP) including a set of vertical market templates that operate on top of the data architecture" (See Pages 1-17 to 1-21 wherein OraSAM's profile options are available for grouping to define a specific site parameters for a particular industry or business is equivalent to Applicant's vertical market system parameters [VMSP] including a set of vertical market templates that operate on top of the data architecture).

OraAPP further teaches “a database manager in communication with and operative to manage the IUS, CSP, and VMSP” (See Fig. 1-3, Pages 1-5, 2-4 wherein OraAPP’s IUS, CSP and VMSP are defined and operated under Sales and Marketing which is a component product in the Marketing Management family of Oracle Applications whose tier communicates with database tier is equivalent to Applicant’s a database manager in communication with and operative to manage the IUS, CSP, and VMSP).

As per claim 5, OraAPP teaches a database server comprising an architecture as previously described in claims 1, 14 and 22 rejections.

OraAPP does not specifically teach “an activities model”.

However, OraSAM teaches “an activities model” (See Page 6-5 wherein OraSAM’s an user account activity table is created to manage user activities is equivalent to Applicant’s an activities model).

It would have been obvious to one having ordinary skill in the art at the time of the applicant’s invention was made to combine the teachings of OraSAM and OraAPP because OraAPP teaches an integrated system for financials, MRP, HRMS, etc. and OraSAM is a component product of financial applications, and the combination would have enabled Sales and Marketing users to utilize concurrent managers to submit user account activity processes to be processed concurrently or in-parallel in the background while continue performing fore-ground tasks for performance improvement.

As per claim 6, OraAPP teaches an entity model representing an entity responsible for implementing Sales and Marketing processes as previously described in claims 1, 14 and 22 rejections.

OraAPP does not specifically teach the entity model comprising “an entity list representing at least one entity responsible for implementing at least a portion of the business process”.

However, OraSAM teaches “an entity list representing at least one entity responsible for implementing at least a portion of the business process” (See Pages 3-2 and 4-2 wherein OraSAM's listing contacts information and registering contact for events is equivalent to Applicant's an entity list representing at least one entity responsible for implementing at least a portion of the business process).

It would have been obvious to one having ordinary skill in the art at the time of the applicant's invention was made to combine the teachings of OraSAM and OraAPP because OraAPP teaches an integrated system for financials, MRP, HRMS, etc. and OraSAM is a component product of financial applications, and the combination would have enabled Sales and Marketing users to utilize information from other integrated product entities such that business processes of Sales and Marketing could have been operated properly.

OraSAM further teaches the following:

“a core record of information coupled to the entity list and operative to store core

information” (See Page 3-8 wherein OraSAM’s contact’s private mailing address is listed, updated and saved is equivalent to Applicant’s a core record of information coupled to the entity list and operative to store core information);

“a lookup table for entity types coupled to the entity list and operative to store information associated with entity types” (See Pages 2-12 and 2-13 wherein OraSAM’s interest type is selected from a list and saved for updating the company information is equivalent to Applicant’s a lookup table for entity types coupled to the entity list and operative to store information associated with entity types);

“a table of entity sub types coupled to the entity list and operative to store entity sub types” (See Page 2-14 wherein OraSAM’s the company classification is updated saved by selecting a type from a list of values, such as “sector”, “hardware”, etc and a subtype from a list of primary codes such as “commercial”, “federal”, “public”, etc. is equivalent to Applicant’s a table of entity sub types coupled to the entity list and operative to store entity sub types);

“a lookup table of entity sub types coupled to the table of entity sub types and operative to store information associated with entity sub types” (See Page 2-14 wherein OraSAM’s the company classification is updated saved by selecting a type from a list of values, such as “sector”, “hardware”, etc and a subtype from a list of primary codes such as “commercial”, “federal”, “public”, etc. is equivalent to Applicant’s a table of entity sub types coupled to the entity list and operative to store entity sub types);

“a table of entity relationships coupled to the entity list and operative to store entity

relationship information” (See Page 2-14 wherein OraSAM’s the company classification is updated saved by selecting a type from a list of values, such as “sector”, “hardware”, etc and a subtype from a list of primary codes such as “commercial”, “federal”, “public”, etc. and a secondary code from a list of values where the relation established between type, primary and secondary codes is equivalent to Applicant’s a table of entity relationships coupled to the entity list and operative to store entity relationship information); and

“a lookup table of entity relationship types coupled to the table of entity relationships and operative to store information associated with entity relationships” (See Page 2-14 wherein OraSAM’s the company classification is updated saved by selecting a type from a list of values, such as “sector”, “hardware”, etc and a subtype from a list of primary codes such as “commercial”, “federal”, “public”, etc. and a secondary code from a list of values where the relation established between and operated on type, primary and secondary codes is equivalent to Applicant’s a lookup table of entity relationship types coupled to the table of entity relationships and operative to store information associated with entity relationships).

As per claim 7, OraSAM further teaches “the entity types are a function of at least one of company specific system parameters and vertical market system parameters” (See Page 2-14 wherein OraSAM’s account is classified into type, primary and secondary hierarchically specific to the organization’s product and customers is

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equivalent to Applicant's the entity types are a function of at least one of company specific system parameters and vertical market system parameters).

As per claim 8, OraAPP teaches a transaction model comprising at least one transaction in the business process as previously described in claims 1, 14 and 22 rejections wherein Sales and Marketing is one model integrated to the Applications model.

OraAPP does not specifically teach "a plurality of transactions, each transaction being associated with at least one entity".

However, OraSAM teaches "a plurality of transactions, each transaction being associated with at least one entity" (See Pages 7-6 and 7-7 wherein OraSAM's customers place orders and each order is associated with entities such as sales rep, sales channel and product agreement is equivalent to Applicant's a plurality of transactions, each transaction being associated with at least one entity).

It would have been obvious to one having ordinary skill in the art at the time of the applicant's invention was made to combine the teachings of OraSAM and OraAPP because OraAPP teaches an integrated system for financials, MRP, HRMS, etc. and OraSAM is a component product of financial applications, and the combination would have enabled Sales and Marketing users to utilize information from other integrated product entities such that business processes of customer order details could have been operated properly.

OraSAM further teaches “a plurality of transaction details tables (TDT), each TDT associated with a transaction and including high-level information about the associated transaction” (See Pages 7-6 and 7-7 wherein OraSAM's order line items details customer orders and each line item associated with information such as list price, selling price and discount associated with the order transaction is equivalent to Applicant's a plurality of transaction details tables (TDT), each TDT associated with a transaction and including high-level information about the associated transaction).

As per claim 9, OraAPP teaches a list model representing at least one step in the transaction as previously described in claims 1, 14 and 22 rejections.

OraAPP does not specifically teach “a lookup table of lists associated with the list of at least one entity”.

However, OraSAM teaches “a lookup table of lists associated with the list of at least one entity” (See Pages C1 to C-10 wherein OraSAM's table for QuickCode lookup type is provided for Sales and Marketing QuickCode for lookup types and default values associated with entities such as contacts, events and sales is equivalent to Applicant's a lookup table of lists associated with the list of at least one entity).

It would have been obvious to one having ordinary skill in the art at the time of the applicant's invention was made to combine the teachings of OraSAM and OraAPP because OraAPP teaches an integrated system for financials, MRP, HRMS, etc. and OraSAM is a component product of financial applications, and the combination would have enabled Sales and Marketing users to utilize information from other integrated

product entities such that business processes of Sales and Marketing could have been operated properly.

As per claim 10, OraSAM further teaches “a lookup table of list categories associated with the lookup table of lists and operative to group lists into categories” (See Pages C-1 to C-10 wherein OraSAM’s QuickCode lists group into categories such as events, environment and contacts is equivalent to Applicant’s a lookup table of list categories associated with the lookup table of lists and operative to group lists into categories).

As per claims 11, 18 and 19, OraSAM further teaches “lookup tables for lists-to-be-added-to lists-to-be-removed-from, and list-tasks-to-add, the lookup tables associated with the lookup table of lists” (See Page C-5 wherein OraSAM’s lookup code for event facility type, collateral request status and lead status types have values similar to lists-to-be-added-to lists-to-be-removed-from, list-tasks-to-add and list-tasks-to-add suggests the teaching of tables for lists-to-be-added-to lists-to-be-removed-from, and list-tasks-to-add, the lookup tables associated with the lookup table of lists).

As per claims 12 and 20, OraSAM further teaches “a lookup table for list-cycle-steps associated with the lookup table of lists; and lookup tables for list-cycle-steps-to-add-to, list-cycle-steps-to-remove-from, and list-cycle-step-tasks-to-add, each lookup table being associated with the list-cycle-steps table” (See Pages C-1 to C-10 wherein OraSAM’s QuickCode lookup table teaches list-cycle-steps in the interaction type and

list-cycle-steps-to-add-to, list-cycle-steps-to-remove-from, and list-cycle-step-tasks-to-add in the event facility type, collateral request status and lead status types is equivalent to Applicant's a lookup table for list-cycle-steps associated with the lookup table of lists; and lookup tables for list-cycle-steps-to-add-to, list-cycle-steps-to-remove-from, and list-cycle-step-tasks-to-add, each lookup table being associated with the list-cycle-steps table).

As per claim 13, OraSAM further teaches "lists is capable of having associated meta-data" (See Page C-5 wherein OraSAM's user-maintained list of values for event facility type is an item of data about data is equivalent to Applicant's lists is capable of having associated meta-data).

As per claim 15, OraSAM further teaches "modifying the entity model by modifying at least one of entity types, entity sub types, and entity relationships" (See Page 2-14 wherein OraSAM's the company classification is updated saved by selecting a type from a list of values, such as "sector", "hardware", etc and a subtype from a list of primary codes such as "commercial", "federal", "public", etc. and a secondary code from a list of values where the relation established between and operated on type, primary and secondary codes is equivalent to Applicant's modifying the entity model by modifying at least one of entity types, entity sub types, and entity relationships).

As per claim 16, OraSAM further teaches “modifying the list model by adding associations to an existing list to track additional information about list members” (See Pages 7-7 and 7-8 wherein OraSAM's customer order line items are modified to associate and track customer order is equivalent to Applicant's modifying the list model by adding associations to an existing list to track additional information about list members).

As per claim 17, OraSAM further teaches “the list of at least one entity comprises a list entity record and wherein the method further comprises marking the list entity record as removed when at least one of an entity and an entity-transaction pair is removed from the list” (See Page 11-4 wherein OraSAM's maintenance of scripts questions, answers and actions is equivalent to Applicant's the list of at least one entity comprises a list entity record and wherein the method further comprises marking the list entity record as removed when at least one of an entity and an entity-transaction pair is removed from the list).

As per claim 21, OraAPP teaches “action and time-based rules are recursive” (See Page 11-10 wherein OraSAM's script answer actions can be set up to run automatically on regular basis is equivalent to Applicant's action and time-based rules are recursive).

Conclusions

7. The prior art made of record

U. OraAPP: Oracle® Applications Concepts, Release 11 for UNIX, 1998, Oracle®.

V. OraSAM: Oracle® Sales and Marketing Connected Client User's Guide,
Release 11, March 1988, Oracle®.

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

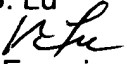
- A. U.S. Publication 2002/0049603
- B. U.S. Publication 2002/0103660
- C. U.S. Publication 2003/0187670
- D. U.S. Publication 2003/0083947
- E. U.S. Patent No. 6,523,027

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kuen S Lu whose telephone number is 571-272-4114.

The examiner can normally be reached on 8 AM to 5 PM, Monday through Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Breene can be reached on 571-272-4107. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 571-252-2100.

Kuen S. Lu

Patent Examiner

February 16, 2005



Luke Wassum

Primary Examiner

February 16, 2005